



Please type a plus sign (+) inside this box ☐

PTO/SB/01 (10-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION AND POWER OF ATTORNEY FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63) <input type="checkbox"/> Declaration Submitted with Initial Filing <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (Surcharge (37 CFR 1.16(e)) required) OR	Attorney Docket Number	ARC2426CIP
	First Named Inventor	J. Bradley PHIPPS
	COMPLETE IF KNOWN	
	Application Number	08/952,368
	Filing Date	November 17, 1997
	Group Art Unit	3767
Examiner Name	MENDEZ, Manuel A.	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.
I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ELECTROTRANSPORT AGENT DELIVERY METHOD AND APPARATUS

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (11/17/1997) November 17, 1997 as United States Application Number or PCT International Application Number PCT/US96/09989 and was amended on (09/12/2003) September 12, 2003

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO
PCT/US96/09989	PCT	06/07/96	<input type="checkbox"/>	<input type="checkbox"/> <input checked="" type="checkbox"/> (previously provided)

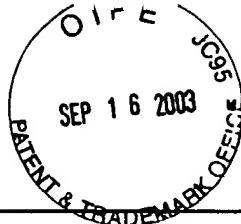
☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

USSN 08/952,368
Filed November 17, 1997

RECEIVED

SEP 23 2003

TECHNOLOGY CENTER R3700



DECLARATION - Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
		<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status
08/483,069	06/07/95	U.S. Patent No. 5,983,130

I hereby appoint:

☒ Practitioners at Customer Number **000027777** →

AND

☐ Practitioner(s) named below:

<u>Name</u>	<u>Registration Number</u>
Angela Nwaneri	34,229
Samuel E. Webb	44,394

Place Customer
Number Bar Code
Label Here

RECEIVED

SEP 23 2003

TECHNOLOGY CENTER R3700

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Address all telephone calls to at telephone number (650) 564-

Direct all correspondence to: Customer Number
☒ or Bar Code Label **000027777** OR ☐ Correspondence address below

Name:

Address:

Address:

City:

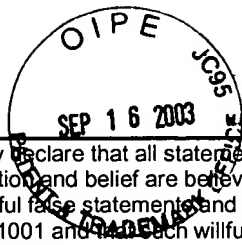
State:

ZIP

Country

Telephone:

Fax:



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) J. Bradley

Family Name
or Surname Phipps

Inventor's
Signature

Date

Residence: City Maple Grove

State MN

Country USA

Citizenship USA

Mailing Address 14115 62nd Place North

City Maple Grove

State MN

ZIP 55311

Country USA

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) Gary A.

Family Name
or Surname Lattin

Inventor's
Signature

Date

Residence: City Forest Lake

State MN

Country USA

Citizenship USA

Mailing Address 6927 145th Avenue

City Forest Lake

State MN

ZIP 55025

Country USA

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF THIRD INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) Ronald P.

Family Name
or Surname Haak

Inventor's
Signature

Date

Residence: City Palo Alto

State CA

Country USA

Citizenship USA

Mailing Address 724 Ramona Street

City Palo Alto

State

ZIP 94301

Country USA

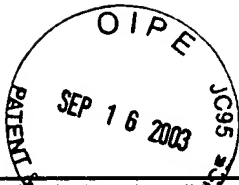
RECEIVED

SEP 23 2003

TECHNOLOGY CENTER R3700

USSN 08/952,368

Filed November 17, 1997



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF FOURTH INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Felix		Family Name or Surname Theeuwes	
Inventor's Signature		Date	
Residence: City Los Altos Hills	State CA	Country USA	Citizenship BELGIUM
Mailing Address 27350 Altamont Road			
City Los Altos Hills	State CA	ZIP 94022	Country USA
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF FIFTH INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Suneel K.		Family Name or Surname Gupta	
Inventor's Signature		Date	
Residence: City Sunnyvale	State CA	Country USA	Citizenship USA
Mailing Address 1331 Elsona Drive			
City Sunnyvale	State CA	ZIP 94087	Country USA

RECEIVED

SEP 23 2003

TECHNOLOGY CENTER R3700

02-27-1998

88 Rec'd PCT/PTO 952368
17 NOV 1997

Attorney

Form PT

(Rev. 6-1)

OMB No.



ON FORM COVER SHEET

US DEPARTMENT OF COMMERCE
Patent and Trademark Office

100643244

PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies)

J. Bradley Phipps
Gary A. Lattin
Ronald P. Haak
Felix Theeuwes
Suneel K. GuptaAdditional name(s) of conveying
party(ies) attached?☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: ALZA CORPORATIONInternal Address: Intellectual Property Department
A1WStreet Address: 950 PAGE MILL ROAD
PO BOX 10950City: PALO ALTO State CA ZIP 94303-0802Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Other _____☐ Change of Name

Execution Date: 10/28/97 & 11/9, 12, & 17, 1997

RECEIVED

SEP 23 2003

TECHNOLOGY CENTER R3700

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: November 17, 1997

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No5. Name and address of party to whom correspondence
concerning document should be mailed:Attorney's Name: Christopher P. RogersName: ALZA CorporationStreet Address: 950 PAGE MILL ROAD
PO BOX 10950City: PALO ALTO State CA ZIP: 94303-08026. Total number of applications and patents involved:
17. Total fee (37 CFR 3.41):.....\$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account8. Deposit account number: 01-1173(Attached duplicate copy of this page if paying by deposit
account)

9. Statement and signature:

to the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the
original document.Christopher P. Rogers
Name of Person Signing11/17/97
Date

Total number of pages comprising cover sheet:

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Box Assignments
Washington, DC 20231

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as
Express Mail, Mailing Label No. TB 057 257 123 us, in an envelope addressed to: Box PCT, National Phase Entry US, Assistant
Commissioner for Patents, Box Assignments, Washington, D.C. 20231 on 11/17/97

By: Henrietta Votaw

H:\PATENTS\024.DOC 6/24/97 rar

12/01/1997 WLLABHC 0000081 DTH0117308452368
001 50 5X1 2000H

ASSIGNMENT
(JOINT)

WHEREAS, we, J. Bradley Phipps, Gary A. Lattin, Ronald P. Haak, Felix Theeuwes and Suneel K. Gupta have made certain new and useful inventions in ELECTROTRANSPORT AGENT DELIVERY METHOD AND APPARATUS, set forth in an application for Letters Patent of the United States, ☐ which is a provisional application filed herewith; ☒ which is a non-provisional application filed herewith; ☐ bearing Application No. _____, and filed on _____; and

WHEREAS, ALZA Corporation (hereinafter referred to as "ALZA"), a corporation of Delaware, is desirous of acquiring the entire right, title and interest in and to the said inventions; the right to file applications on said inventions; and the entire right, title and interest in and to any applications, including provisional applications, for Letters Patent of the United States or other countries claiming priority to said applications; in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon; and any rights of priority of said inventions, applications and patents.

NOW, THEREFORE, for one Dollar (\$1.00) and other valuable consideration, receipt of which is hereby acknowledged, we have agreed to and do hereby:

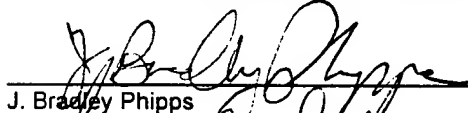
SELL, ASSIGN, TRANSFER AND SET OVER unto ALZA, its successors, legal representatives and assigns our entire right, title and interest in and to the above-mentioned inventions, the right to file applications on said inventions, and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, including provisional applications, divisions, continuations, and continuations-in-part of said applications, renewals, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, to the full end of the term or terms for which Letters Patent or Patents may be granted, including any rights of priority of said inventions, applications and patents; together with all claims for damages or other relief throughout the world by reason of misappropriation or other wrongful use or disposition of said invention, or infringement of said patents or patent applications, including the right to sue for, obtain, enforce and enjoy, in its own name, any and all remedies that may be available;

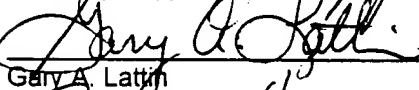
TO BE HELD AND ENJOYED by ALZA, its successors, assigns and legal representatives as fully and entirely as the same would have been held and enjoyed by us had this sale, assignment and transfer not been made; and


WE HEREBY COVENANT AND AGREE for ourselves and our heirs, executors and legal representatives, to assist ALZA, its successors, assigns and legal representatives in the prosecution of said applications, and in any reissue, reexamination, interference or other legal or administrative proceeding, which may arise involving said invention, said patent applications, or said patents, and to execute without further consideration, upon request by ALZA, its successors, assigns, or legal representatives all divisional, continuing, reissue, term extension or other applications for patents in any country, as well as such other documents that may be used to fully secure to ALZA, its successors, assigns and legal representatives the rights, titles and interests granted herein; and

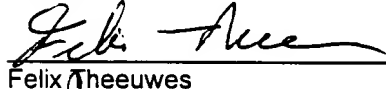
WE HEREBY AUTHORIZE AND REQUEST the Commissioner of Patents and Trademarks of the United States of America to issue any and all United States patents which may be granted upon said United States applications or any part of them, or upon said inventions or any part thereof, to ALZA Corporation.

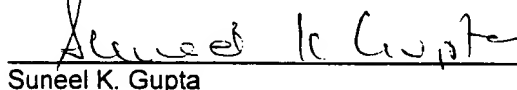
IN WITNESS WHEREOF, We have each hereunto set our hands.

 this 28 day of October 1997; and
J. Bradley Phipps

 this 28 day of October 1997; and
Gary A. Lattin

 this 9 day of November 1997; and
Ronald P. Haak

 this 17 day of Nov. 1997; and
Felix Theeuwes

 this 12 day of NOV 1997; respectively
Suneel K. Gupta

ARC 2426C1



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APRIL 20, 1998

PTAS



100643244A

ALZA CORPORATION
CHRISTOPHER P. ROGERS
950 PAGE MILL ROAD
PO BOX 10950
PALO ALTO, CA 94303-0802

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/17/1997

REEL/FRAME: 8983/0450
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PHIPPS, J. BRADLEY

DOC DATE: 10/28/1997

ASSIGNOR:

LATTIN, GARY A.

DOC DATE: 10/28/1997

ASSIGNOR:

HAAK, RONALD P.

DOC DATE: 11/09/1997

ASSIGNOR:

THEEUWES, FELIX

DOC DATE: 11/12/1997

ASSIGNOR:

GUPTA, SUNEEL K.

DOC DATE: 11/17/1997

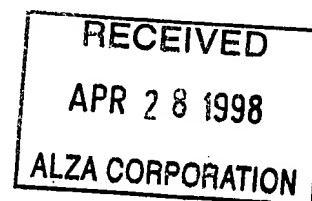
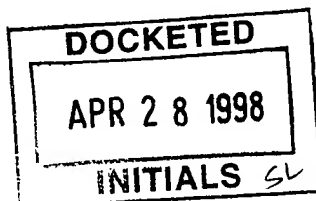
ASSIGNEE:

ALZA CORPORATION
950 PAGE MILL ROAD, P.O. BOX 10950
INTELLECTUAL PROPERTY DEPARTMENT, A1W
PALO ALTO, CALIFORNIA 94303-0802

RECEIVED

SEP 23 2003

TECHNOLOGY CENTER R370



REEL / FRAME

6983/0450 PAGE 2

SERIAL NUMBER: 08952368
PATENT NUMBER:

FILING DATE: 11/17/1997
ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS